



THE ROBERT DAY SCHOOL
OF ECONOMICS AND FINANCE

CLAREMONT MCKENNA COLLEGE

THE ROBERT DAY SCHOOL OF ECONOMICS AND FINANCE

GRADUATE STUDENT ACADEMIC HANDBOOK

2010 - 2011

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This Handbook complements the College's Basic Rules of Conduct and Judicial Procedures, Statement of Academic Policy, and Statement of Academic Integrity. It provides a statement of policies and academic issues set forth by the Dean and faculty of the Robert Day School that are relevant to the students in the Master of Arts in Finance Program. Knowledge of the policies outlined in the above-named publications is every student's responsibility. The documents referenced above can be found at:

<http://www.claremontmckenna.edu/dos/basicrule/BasicRule2007.pdf>

<http://www.claremontmckenna.edu/registrar/acpolicy/2008-09/default.php>

I. Basic Rules of Conduct

To maintain an environment which promotes its educational mission, the College expects its students to respect the persons and property of others, including members of the College community, the educational and administrative process of the College, and the activities of members of the College community conducted in accordance with this rule.

The term "Members of the College Community" means members of the Board of Trustees, academic and non-academic personnel, administrative personnel, and students of the College, including any such persons when on the campus of or at a college function (including off-campus functions and programs) of any of the Claremont Colleges or the Claremont University Center, or other persons on the College campus or at a College function.

The following sections outline kinds of behavior which violate the "Basic Rule of Conduct."

1. Actions which cause the personal injury or death of another, or which threaten or endanger the personal safety or well-being of others. Such actions include, but are not limited to:
 - a. Participating in a riot or major disturbance.
 - b. Engaging in disorderly conduct.
 - c. Unlawfully using or threatening to use weapons or objects which can be used as weapons.
 - d. Unlawfully possessing or using explosives (including fireworks) or dangerous chemicals (unless authorized for an academic purpose).
 - e. Possessing or storing on campus firearms or ammunition.
 - f. Physically abusing, threatening to abuse, or intimidating another person.
 - g. Engaging in lewd, indecent or obscene conduct.
 - h. Engaging in physical or verbal actions which injure, degrade or disgrace another person, or tend to cause such effects.
 - i. Violating the Claremont McKenna College policy on sexual offenses.
2. Actions which damage or misuse property. Such actions include, but are not limited to:
 - a. Stealing, borrowing without authorization or knowingly possessing stolen property.
 - b. Abusing, mishandling or misappropriating property, equipment, materials, or accounts.

- c. Damaging or destroying property without legal justification.
 - d. Entering, using or occupying College property without authorization.
 - e. Unauthorized access to computers, computer systems, and computer data.
 - f. Unauthorized altering of computer data.
3. Actions which violate or misrepresent agreements, contracts, documents, or relationships relating to the College and/or its activities. Such actions include, but are not limited to:
- a. Providing false information on College forms and documents, or to College personnel.
 - b. Forging, altering or misusing College documents.
 - c. Falsely representing any person or organization as an agent or employee of the College.
 - d. Using the College name (including the shortened variants “Claremont McKenna,” “McKenna” and/or “CMC”) or the College’s trademarks/service marks: “STAGS”; “ATHENAS”; or The Robert Day School of Economics and Finance or The Robert Day Scholars Program or “Leaders in the Making” or seal except when authorized by the Board of Trustees, the President, the Dean of Students or the General Secretary of the College. Also included are any combination of the foregoing names, trademarks/service marks and/or seal, including mergers into one word, usage with or without capitalization(s) as one or more words, inclusion as one or more words with/or as part of an Internet website address (irrespective of the highest (“top”) level domain designation used, viz., “.com,” “.org,” etc.) or any other variance of the use of said names, trademarks/service marks and/or seal.
4. Actions which hinder the College Judiciary Board or the Administrative Hearing Officer in the performance of their duties. Such actions include, but are not limited to:
- a. Engaging in conduct which violates the instructions or procedural rules of the Board, or the Administrative Hearing Officer, or its effective adherence to the CMC Judicial Procedures.
 - b. Interrupting, or obstructing the Hearing or preventing deliberations of the Board or the Administrative Hearing Officer.
5. Actions which violate the Policy on Demonstrations at the Claremont Colleges.
6. Actions which violate the Claremont McKenna College Policy on Alcoholic Beverages.
7. Actions which constitute alcohol or substance abuse. Such actions include, but are not limited to: Violations of federal or state laws governing the possession, sale and consumption of regulated substances.
8. Actions which violate an order of the President, notice of which has been given prior to such violation. Such an order, issued in unusual or emergency situations, will be given reasonable wide publicity and will have specified starting and expiration times. An order

of the President which would subject a person violating it to possible suspension will so plainly state in the text of the order.

9. Actions which violate College administrative regulations (such as quiet hours, key policies, traffic and parking rules, residence hall rules and anti-litter rules).

10. Actions which assist, urge, encourage or solicit another person to violate College rules.

11. Behavior in violation of the Contempt Rule.

12. Actions which violate any other provisions of the CMC Guide to Nonacademic Policies not above designated, if any.

Determination of whether a violation of a Basic Rule of Conduct has occurred is made by the CMC Judiciary Board in accordance with the CMC Judicial Procedures found in the Basic Rules of Conduct.

Summary Suspension

Each College President or his or her designated representative after due warning to the person(s) involved, and subject to later review by the duly designated judicial body of the College concerned, has the power on his or her own campus to suspend students of any of the Claremont Colleges who are engaged in actions which endanger the safety and/or property of Members of the Claremont Colleges, which cause damage to the property of the Colleges or which result in disruption or obstruction of the operation of the Colleges. In the absence of the President or his or her designated representative, this power shall be exercised by the chairperson of the Council of the Claremont Colleges, in his or her absence, by the chairperson designate.

Any student who is so suspended shall be given prompt notice of charges and a Hearing [before the duly designated judicial body of the concerned college] within ten (10) days of the imposition of the suspension. Such suspension shall be deemed a "Summary Suspension" and subject to the provisions of Appendix C., XVII. of the CMC Basic Rule of Conduct and Judicial Procedures.

Penalties

The maximum penalty for conduct which violates the "Basic Rule of Conduct" is Expulsion. Penalties for less serious violations may include Warnings, Fines, Restitution, Work Hours, Counseling, Removal of Activities or Privileges for a Specific Period, Involuntary Removal of Offending Cause, Involuntary Relocation, Suspension of On-Campus Privileges, Conduct Probation, Disciplinary Probation, and Suspension. Unless the President directs otherwise, supervision of penalties shall be by the Dean of Students.

II. Statement of Academic Integrity

Claremont McKenna College is an academic community where it is assumed that all individual members are committed to high ethical standards in meeting their responsibilities and in their relationships with each other. Students are expected to behave as mature and responsible members of this community and to follow ethical standards both in their personal conduct and in their behavior towards other members of the community. The College expects students to understand and to follow basic standards of honesty and integrity. Some common violations of these basic standards of academic integrity include but are not limited to, plagiarism, cheating on tests and examinations, presenting work completed for one course as original work for another, and other forms of dishonest performance on college assignments, as explained below.

Plagiarism means the use of the thoughts, ideas, words, phrases or research of another person or source as one's own without explicit and accurate attribution as illustrated in the Appendix. In keeping with this definition, all work, whether written or oral, submitted or presented by students at the College as part of course assignments or for College sponsored extracurricular activities, must be the original work of the student unless otherwise specified by the instructor.

Cheating on examinations of any kind (quizzes, midterms, finals, etc.) includes copying another student's answers, exchanging information, using notes or books unless expressly permitted to do so by the instructor, or gaining access to examinations prior to the actual taking of such examinations.

Other examples of academic dishonesty include, but are not limited to, copying or preparing another person's work; buying prepared papers; fabricating laboratory reports or experimental data; gaining unauthorized access to computer data or other privileged information; or supplying false or forged documents to a college official.

Assisting anyone to engage in any of the violations described above qualifies as academic dishonesty.

All rules and standards of academic integrity apply equally to all electronic media, particularly all intranet and internet activities. This is especially true for any form of plagiarism, ranging from submission as one's own all or part of a paper obtained from an internet source to failure to cite properly an internet source (e.g., citing an article from *The New York Times* rather than <http://www.nytimes.com> [access date]).

The faculty of Claremont McKenna College is firmly committed to upholding the highest standards of academic integrity. Each faculty member has the responsibility to report cases of academic dishonesty to the Academic Standards Committee (ASC), which has the duty of dealing with cases of alleged academic dishonesty. When informed of such a case by the instructor, the Committee receives statements and other evidence from the instructor and the student. If aspects of the facts are in dispute, the Committee, by itself or through a designated subcommittee, investigates through interviewing the instructor, the student, and any other relevant witnesses and considering other evidence. If the Committee finds that academic dishonesty has taken place, it then decides upon a punishment, such as suspension. The

Committee determines the punishment after due consideration of all circumstances. Any penalty with regard to grades is the prerogative of the instructor.

Since plagiarism takes a variety of forms, “Avoiding Plagiarism”, by H. Ramsey Fowler is reproduced here as an Appendix.

III. Academic Policies

Final Transcripts for Remaining Prerequisites

Students who were required in their letter of admission to take additional courses to satisfy the prerequisites of the Masters in Finance program must provide verification of course completion and a grade report to the Director of Graduate Programs by the 10th day of the fall semester. Further, students must provide official transcripts for these courses to the Director of Graduate Programs by September 30. Failure to meet these deadlines will result in the offer of admission being unconditionally revoked, and the student will be required to pay tuition up to the point of departure on a prorated basis according to the policies of Claremont McKenna College.

Course Requirements

The graduate curriculum is a rigorous and intensive set of courses in financial economics that fosters analytical and quantitative expertise and leads to a Master of Arts in Finance. The program uses a cohort design, in which students move through the same courses at the same time. All courses are required with no transfer credit, substitution or out of sequence permitted. Using cases and modules, coursework is designed partly to explore relevant ethical and organizational leadership issues. Please note that in order to keep pace with an evolving business environment, this curriculum is subject to change

Summer '10 August 16-August 27	Fall '10 September 1-December 18	Spring '11 January 19-May 15
Intensive Math & Computing Seminar	Fin 310 Financial Economics	Fin 410 Portfolio Management
	Fin 320 Financial Econometrics	Fin 420 Asset Pricing and Derivatives
	Fin 330 Corporate Financial Management	Fin 430 Economics, Strategy, and Organization
	Fin 340 Investments	Fin 440 Advanced Accounting Analysis

Grade and Grade Point Requirements

The College uses a twelve point grading system under which grade points for full courses are assigned as follows:

A	12 points	C+	7 points
A-	11 points	C	6 points
B+	10 points	F	0 points
B	9 points		
B-	8 points		

Students in the graduate program must maintain at least a B average (a GPA of 9) in order to remain in good academic standing at Claremont McKenna College and earn the MA degree. If a student earns a GPA below 9 or earns two course grades below B- in the first semester, the student will be placed on academic probation. The degree will be granted only if the GPA at the end of the spring semester is at least 9 and no further grades below B- are earned. Students who earn any single grade of F or more than two grades below a B- will be dismissed from the program without earning the degree.

The MA program is a cohort-style program in which all students proceed in lockstep: fall courses are not offered in the spring, so there is no opportunity to retake or make up courses. Fall courses are pre-requisites for the spring courses, so it is not possible to begin the degree in the spring semester. Withdrawing from a course is the same as withdrawing from the program, although in special circumstances the student may be considered for readmission in a subsequent academic year. Attendance at the intensive math and computing seminar prior to the beginning of the fall semester is mandatory.

There is no terminal requirement, e.g., thesis, prior to awarding of the degree.

All eight graduate courses must be taken for a letter grade (the math intensive, which precedes the eight courses, is graded on a credit/no credit basis). Course grades are determined by the instructor in each course and may be based on participation, presentations, written work, group projects, exams, or other devices. Once granted, grades can be changed only to correct errors on the part of the instructor. Instructors who wish to change a student's grade must inform the Registrar in writing and must include a brief explanation in a signed and dated document.

Incomplete Grades

Students may petition the Academic Standards Committee to grant them a grade of I (incomplete). Incomplete grades are temporary grades and will only be awarded by the ASC when illness or other extenuating circumstance beyond a student's control legitimately prevents the completion of required work by the due date at the end of the semester. Petitions for incompletes are appropriate when students have actively participated in a course during the semester, but due to illness or other circumstances beyond their control, are not able to complete

assignments or exams at the end of the semester. Incomplete petitions are not appropriate for students who have missed a substantial number of classes or assignments, or who have completed all major requirements in a given course. Petitions for incompletes should be submitted before the last day of classes. In cases of serious illness or emergency, the ASC may consider a petition filed after the end of the semester. Incomplete grades are not given simply for failure by students to complete work on time, nor as a means of permitting students to raise grades by doing additional work after the due date for course work or for final grades.

Students are responsible for the completion of the incomplete petition form and for obtaining all required signatures, including those of the instructor and the Dean of the Faculty. All petitions must be submitted with supporting documentation. Incomplete petition forms are available from the Registrar's Office and the Dean of Students, and should be returned to the Registrar's Office.

On the petition forms, the instructors must indicate whether or not they support the petition. They also must give an evaluation of the student's performance in the course up to the time of the petition. In addition, instructors must give a detailed description of the work that needs to be completed and they must specify the grade that will be assigned if the ASC does not approve the petition.

Incomplete grades will be removed and replaced with appropriate grades if all work is completed by the last day to add a class (tenth day) of the subsequent semester, unless the ASC has decided on a different deadline. It is the students' responsibility to make appropriate arrangements with the instructor(s) so they can complete all assignments on time. If no grade is given to the Registrar's Office by the due date, incomplete grades are automatically changed to F's; they are not changed to the grade the student would have received if the ASC had not approved the petition.

If a student has missed a substantial amount of work, the option of a late withdrawal from the course may be more appropriate.

Completion of Work

To be counted as work completed in a course and to be calculated in the final grade, all assignments, except for final examinations, must be turned in to the instructors by the last day of classes, unless the instructor requires otherwise in writing. Assignments may not be turned in after the scheduled time of the final examination, unless the student was granted an incomplete in the course.

Grade Changes

Grades may be changed only to correct errors on the part of the instructor. Grades may not be changed because a student completes or turns in work late, unless a petition for an Incomplete Grade was approved by the ASC. No grade recorded for a student at CMC shall be changed after a period of one year dating from the end of the semester in which the course was taken. A faculty request to change a grade that affects any decision made by the ASC must be approved by that

Committee. Instructors who wish to change a student's grade must inform the Registrar in writing and must include a brief explanation in a signed and dated document.

Grade Disputes

The instructor is the person best qualified to determine grades in a course. However, if a student believes that the assigned grade does not fairly reflect the quality of the work completed, the student may initiate a grade dispute procedure as follows:

1. The student must first talk with the instructor. If an error has been made, the instructor may submit a grade change in writing to the Registrar.
2. If, after talking with the instructor, the student is still not satisfied that the work has been fairly appraised, the student may appeal to the Dean of the Faculty. The Dean will then discuss the matter with the instructor and the Dean of the Robert Day School.
3. If a satisfactory conclusion still cannot be reached, the Dean of the Faculty will appoint a committee consisting of the Dean of the Robert Day School, a member of the ASC, and a third person chosen from a list of three tenured faculty members submitted by the student. This committee will make a recommendation to the ASC. The ASC will render a final decision, which will be binding on all parties and which will be reported in writing to the Registrar, the student, and the instructor.

Suspension for Academic Dishonesty

Cheating on examinations, plagiarism, or any other violations of academic integrity usually results in suspension from the College for academic dishonesty. Suspensions for academic dishonesty are for a specific period of time and such suspended students are not eligible to register for classes at CMC. In addition, academic course work taken at other academic institutions is not transferable to CMC. Transcripts of suspended students carry a notation of the ASC's action. All CMC students are responsible for being familiar with the rules on plagiarism and other forms of academic dishonesty. For further information, see Statement of Academic Integrity.

Students suspended for academic dishonesty may petition the ASC for readmission to the College after the term of their suspension has expired. When considering such requests, the ASC will carefully examine the student's conduct since leaving the College, and must be convinced that readmission is warranted by a change in the circumstances that led to the suspension. It is the student's responsibility to provide evidence and documentation supporting their request for readmission. The notation of the ASC's action is removed from the transcript upon readmission and return to the College.

Dismissal for Academic Dishonesty

Students may be dismissed from the College for reasons of academic dishonesty. This action is recorded permanently on their transcripts. Students found to have committed academic dishonesty twice will be dismissed from the College. Students may be dismissed on a first offense in particularly egregious cases.

Leave of Absence

Regularly enrolled students in good standing with a fall semester GPA of at least B (9.00)) may petition the ASC for a spring semester leave of absence for any legitimate reason. A leave of absence must be requested by January 1 for the spring semester. Petitions must include the reasons for the request as well as the exact semester the student wishes to return to the College. A leave of absence may not be for longer than three years. Approved leaves are conditional upon successful completion of the semester in progress.

Withdrawal from the College

Students may voluntarily withdraw from the College by completing the Withdrawal Procedure form available at the Dean of Students office. Students who do so before July 1 for the fall semester and December 1 for the spring semester are entitled to a refund of their security deposit (after appropriate charges have been deducted). For information on other refunds, see the CMC Catalog.

Transcripts of students who withdraw from the College during the semester but before the last day to withdraw from courses without academic penalty will list no course enrollment for that semester. Transcripts of students who withdraw after the last day to withdraw from classes will list grades of "W" if the student's petition for late withdrawal from courses has been approved by the ASC.

Student Representation

Students may wish to elect a representative or representatives to bring student concerns to the Director of Graduate Programs, the Dean of the Robert Day School, or other faculty or staff members. Of course, individual students are also welcome to meet directly with the faculty or staff rather than operating through representative(s).

Issues Not Addressed by Existing Policies

If any student academic, disciplinary, or conduct issues arise which are not otherwise addressed within this handbook or other existing policies and procedures of Claremont McKenna College, the Director of Graduate Programs and/or the Dean of the Robert Day School may form an ad hoc committee of RDS faculty and College officials to address those issues and effect appropriate consequences.

IV. Administrative Policies

Tuition and Fees

2010-2011 Academic Year Estimated Cost of Attendance

Tuition (includes summer math course, co-curricular workshops, and networking trip(s))	\$46,725
Off campus student fee	\$ 200
Student health insurance (individual)	\$ 1,300 est.
Other expenses (books, housing, meals, local transportation)	\$15,600 est.

Housing

The Master's Program is a non-residential program and student housing is not provided. Claremont and the surrounding communities have ample housing and apartment rentals and the College will make every effort to provide our graduate students with housing resources to assist you in a search. Ultimately, it is the student's responsibility to secure housing and you should refer to the Graduate Student's Resource Book for further information.

Health Insurance

All graduate students are required to carry health insurance. Information is mailed to each student and also is available from the CMC Office of the Dean of Students or the Claremont Colleges Health Services Office.

General Computing Guidelines

The Claremont Colleges make available computing and network resources for use by the Colleges' students, faculty and staff. These services are to be used only for educational purposes and to carry out the legitimate business of the Colleges. Those who avail themselves of the computing and network resources are required to use them in a manner consistent with the Colleges' standards of conduct. Individuals who possess expert knowledge of information systems or who make heavy use of these facilities, or who are in a position of trust regarding these facilities will be held to particularly high standards of conduct.

The framework of responsible, considerate and ethical behavior expected by the Colleges extends to cover the use of campus facilities and network resources, and networks throughout the world to which electronic access has been provided by the Colleges.

Files may be monitored in the ordinary course of business. In addition, when there is reason to suspect inappropriate use of campus computing or networking resources, authorized College personnel will take steps to investigate. This may include monitoring traffic on the network, including contents, and examining files on any system which has been connected to the network.

The following list does not cover every situation which pertains to proper or improper use of the resources, but it does suggest some of the responsibilities which you accept if you choose to use the Colleges' computing resources or the network access which the Colleges provide.

1. You must not intentionally seek information about, browse, copy, or modify files or passwords belonging to other people, whether at The Claremont Colleges or elsewhere.
2. You are authorized to use only computer resources and information to which you have specifically been granted access. If you encounter or observe a gap in system or network security, you should report the gap to the manager of that system immediately.
3. If it is unclear whether you have permission to copy, compile or manipulate software or data, assume that you may not do so.
4. The Colleges' policies on harassment apply equally to electronic displays and communications as they do to more traditional means of display and communication. You must not display, or transmit images, sounds or messages that could create an atmosphere of discomfort or harassment for others.
5. Messages, sentiments, and declarations sent as electronic mail or postings must meet the same standards for distribution or display as tangible documents.
6. You must not degrade computing or network performance in any way that will prevent others from meeting their educational or college business goals.
7. You must not create or willfully disseminate computer viruses. You should be sensitive to the ease of spreading viruses and should take steps to insure your files are virus-free.

The above statements are not intended to serve as an exhaustive list. Members of the college community are also expected to observe federal, state and local laws which govern computer and telecommunications use, as well as the Colleges' own regulations and policies.

Use of College Identification

Claremont McKenna College (hereinafter the "College" or "CMC") is nationally known for excellence in teaching, learning, research, athletics, and similar activities. The College's name and its associated seals, marks and symbols (together, referred to as "names and marks") are among the College's most valuable assets. Faculty, students and staff share in the benefits associated with the College's name and marks, and therefore also share responsibilities concerning their use.

The College will protect its name and marks actively from improper or misleading use by individuals or organizations not associated with the institution and will assure that use of the name and marks by faculty, students, alumni, staff, CMC institutes and programs and others is appropriate. As described below, appropriate use indicates that the activity or product with which

the name and marks are being used has the necessary approval for use of the name and marks and reflects appropriately on CMC's reputation.

Use of the CMC name and marks in a manner that implies endorsement of programs, products or services of any entity not directly associated with, or licensed in writing by, the College is prohibited.

a. Ownership — The College is the owner of a number of marks registered with the United States Patent and Trademark Office. These include:

CLAREMONT McKENNA COLLEGE®

CMC ®

LEADERS IN THE MAKING®

Other marks of the College include variations on the above marks, “McKENNA”, “STAGS”, “ATHENAS”, “THE ROBERT DAY SCHOOL OF ECONOMICS AND FINANCE”, “THE ROBERT DAY SCHOLARS PROGRAM”, and any other mark associated with the College. All of CMC's registered marks, as well as other names, logos, seals and other symbols that are representative of CMC, whether or not registered, are the property of the College. Such names and marks may be used solely with permission of persons having specific authorization by the President of the College. Where appropriate, registered marks may be shown with the symbol, ®, designating their status as federally registered trademarks. Where appropriate, marks that have not yet been registered may be shown with the symbol “TM”.

Use of the CMC name and marks by third parties is strictly prohibited unless written permission from the College has been granted, in keeping with authority delegated by the President (described below under “Approval for Use.”)

b. Appropriate Use — The names and marks covered by this policy may be used only in connection with CMC-sponsored or CMC-sanctioned activities or materials. CMC faculty, students, staff and volunteers must assure that use of the CMC name and marks meets the following criteria:

(1) Accuracy — Use of the CMC name and marks in association with an event, program, project, publication or product implies some form of involvement by the College. Involvement by individual faculty, students, alumni or staff is not a sufficient basis for indicating College sponsorship or endorsement. The activity must be one in which the College has an institutional role.

(2) Quality Standards — CMC's name and marks may be used only in connection with activities that meet high standards and are consistent with the College's educational, research and related purposes.

(3) Prohibited Uses — In keeping with its status as a non-profit educational institution, CMC does not permit its name and marks to be used in connection with partisan political activities. Individual faculty, students, alumni or staff may not use CMC's name and marks in association

with any commercial activity or outside venture without written permission of a person authorized by the President to so act.

c. Approval for Use — The President has delegated authority as follows for approving use of CMC's name and marks:

To the Vice President for Academic Affairs and Dean of Faculty for use in connection with educational and research activities, including courseware and related materials developed for teaching at CMC and for special events;

To the Vice President and Treasurer for use in connection with business activities of CMC or by vendors (including promotional use);

To the Director of Public Affairs and Communications for use in film, video, print and electronic media, including the College's home pages on the Web; and,

To the Vice President for Student Affairs for use in connection with requests from students or student organizations.

The Secretary of the College is responsible for protection of CMC's name and marks. In addition, CMC's Office of Public Affairs and Communications is authorized to grant licenses for use of CMC's name and marks on products for sale.

d. Guidelines for Faculty and Staff — In teaching, research and other academic activities of the College, CMC's name and marks may be used, subject to the normal review processes established within the College, departments, programs and institutes. This policy is not intended to limit use of the CMC name for legitimate purposes that fall within the normal scope of College activities. However, when a faculty or staff member is involved in activities not directly associated with CMC (e.g., independent consulting, other business activities, publications, etc.), use of CMC's name and marks is limited to identification of the individual by his or her affiliation (e.g., Jane Smith, Professor of History, Claremont McKenna College).

The CMC name and marks may not be used for purposes other than in direct relation to teaching, learning and research at CMC without written approval from the designated office described above under "Approval for Use." Faculty members and others engaged in activities involving business relationships with third parties may contact the Office of the Dean of Faculty for information and assistance on name use issues. For questions concerning courseware and related materials, contact the Dean of Faculty. Examples of permissible use include:

"John Smith, Professor of Government at Claremont McKenna College," on a book jacket

"The Roberts Environmental Center at Claremont McKenna College"

"Conference on _____ at Claremont McKenna College" when approved by the Dean or Department Chair and operated as a College special event

Examples requiring written approval and/or a license from the College:

Use of the CMC name on any product that will be sold commercially, such as CMC sweatshirts, t-shirts, backpacks, etc.

Use of the CMC name in the title of a book, such as "The CMC _____."

Use of the CMC name in a course that will be marketed or otherwise used outside the College, either by a College official or by a third party, such as "The CMC Seminar on Leadership"

e. Guidelines for Students and Alumni — Student and alumni groups that have official ASCMC or Claremont McKenna College Alumni Association recognition, and are registered as such, may use the CMC name in association with their CMC-sanctioned activities. Recognized student groups producing merchandise or other materials that incorporate CMC's name or marks must obtain prior authorization from the Office of the Vice President for Student Affairs.

f. Registration of Internet Domain Names — No faculty, staff, alumnus, other volunteer or student may register a domain name that incorporates the College's names or marks except in accordance with the policies described above concerning use of the name and marks. Domain name registrations incorporating the word "ClaremontMcKenna" or "CMC" are the property of the Board of Trustees and must be registered as such.

g. Registration of Trademarks — Trademarks registered in connection with any programs, products or services of the College, its departments, institutes, alumni or related activities, are owned by the Board of Trustees. In keeping with its institutional responsibility for trademark protection, the Secretary of the College is responsible for trademark registration. Faculty, alumni, other volunteers, staff or students seeking to register trademarks in association with College activities must do so by contacting the Secretary.

APPENDIX

AVOIDING PLAGIARISM*

By H. Ramsey Fowler

Avoiding Plagiarism (SAP p. 29)

Plagiarism (from a Latin word for "kidnapper") is the presentation of someone else's ideas or words as your own. If you copy a sentence from a book and pass it off as your writing, if you summarize or paraphrase someone else's ideas without acknowledging your debt, or if you buy a term paper to hand in as your own, you plagiarize deliberately. If you carelessly forget quotation marks or a footnote to show that words or ideas originated with someone else, you plagiarize accidentally. Whether deliberate or accidental, plagiarism is a serious and often punishable offense.

You do not plagiarize, however, when you draw on other writers' material and acknowledge your sources. That procedure is a crucial part of honest research writing (. . .). Nevertheless, because a research paper requires by definition that you integrate other people's ideas with your own, you may not always be sure what constitutes plagiarism. This appendix shows you how to avoid plagiarism by acknowledging sources when necessary and by using them accurately and fairly.

Knowing what to acknowledge

When you write a research paper, you coordinate information from three kinds of sources: (1) your independent thoughts and experiences; (2) common knowledge, the basic knowledge people share; and (3) other people's independent thoughts and experiences. Of the three, you must acknowledge the third, the work of others.

Your independent material

You need not acknowledge your own independent material—your thoughts, compilations of facts, or experimental results, expressed in your words or format—to avoid plagiarism. Such material includes observations from your experience (for example, a conclusion you draw about crowd behavior by watching crowds at concerts or shopping centers) as well as diagrams you construct from information you gather yourself. Though you generally should describe the basis for your independent conclusions, so that readers can evaluate your thinking, you need not cite sources for them. However, someone else's ideas and facts are not yours; even when you express them entirely in your words and format, they require acknowledgment.

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Common knowledge

Common knowledge consists of the standard information of a field of study as well as folk literature and commonsense observations. Standard information includes, for instance, the major facts of history. The dates of Charlemagne's rule as emperor of Rome (800-814) and the fact that his reign was accompanied by a revival of learning—both facts available in many reference books—do not need to be acknowledged, even if you have to look up the information. However, an interpretation of facts (for instance, a theory of how writing began) or a specialist's observation (for instance, an Asian historian's opinion of the effects of Chinese wall posters) is considered independent, not common, knowledge and must be documented.

Folk literature, which is popularly known and cannot be traced to particular writers, is considered common knowledge. Mother Goose nursery rhymes and fairy tales like "Snow White" are examples. However, all literature traceable to a particular writer should be acknowledged. Even a familiar phrase like "miles to go before I sleep" (from Robert Frost's poem "Stopping by Woods on a Snowy Evening") is literature, not folk literature, and requires acknowledgment.

Commonsense observations, such as the idea that weather affects people's spirits or that inflation is most troublesome for people with low and fixed incomes, are considered common knowledge and do not require acknowledgment, even when they also appear in someone else's writing. But a scientist's findings about the effects of high humidity on people with high blood pressure, or an economist's argument about the effects of inflation on immigrants from China, will require acknowledgment.

You may treat common knowledge as your own, even if you have to look it up in a reference book. You may not know, for example, the dates of the French Revolution or the standard definition of photosynthesis, although these are considered common knowledge. If you do not know a subject well enough to determine whether a piece of information is common knowledge, make a record of the source as you would for any other quotation or paraphrase. As you read more about the subject, the information may come up repeatedly without acknowledgment, in which case it is probably common knowledge. But if you are still in doubt when you finish your research, always acknowledge the source.

Someone else's independent material

You must always acknowledge other people's independent material - that is, any facts or ideas that are not common knowledge or your own. The source may be a book, letter, magazine, newspaper, movie, speech, interview, television program, or microfilmed document. You must acknowledge not only ideas or facts themselves but also the language and format in which the ideas or facts appear, if you use them. That is, the wording, sentence structures, arrangement of thoughts, and special graphic format (such as a table or diagram) created by another writer belong to that writer just as his or her ideas do. The following example baldly plagiarizes the original quotation from Jessica Mitford's *Kind and Usual Punishment* (New York: Random House, 1973), p. 9.

ORIGINAL The character and mentality of the keepers may be of more importance in understanding prisons than the character and mentality of the kept.

PLAGIARISM But the character and mentality of prison officials (the keepers) is of more importance in understanding prisons than the character and mentality of prisoners (the kept).

Though the writer has made some changes in Mitford's original and even altered the meaning slightly (by changing *may be* to *is*), she has plagiarized on several counts. She has copied key words (character, mentality, keepers, kept), duplicated the entire sentence structure, and lifted the idea—all without acknowledging the source. As illustrated in the following section, the writer must either enclose the exact quotation in quotation marks or state the idea in her own words and in her own sentence. Whichever she does, she must acknowledge Mitford as the source.

You need to acknowledge another's material no matter how you use it, how much of it you use, or how often you use it. Whether you are quoting a single important word, paraphrasing a single sentence, or summarizing three paragraphs, and whether you are using the source only once or a dozen times, you must acknowledge the original author every time.

If you read someone else's material during your research but do not include any of that material in your final draft, you need not acknowledge the source with a note because you have not actually used the material. However, your instructor may ask you to include such sources in your bibliography. (. . .).

Quoting, summarizing, and paraphrasing

When writing a research paper, you can present the ideas of others through direct quotation, through summary, or through paraphrase, depending on your purpose. (. . .) For direct quotation, copy the material from the source carefully, place it in quotation marks within your running text (. . .), and acknowledge the source. Put quotation marks around even a single word if the original author used it in a special or central way. Do not change any wording, spelling, capitalization, or punctuation. Be careful not to leave out or add any words or punctuation marks accidentally. Use an ellipsis mark (three spaced periods) to indicate the exact point at which you have deliberately left out part of a direct quotation (. . .). Use brackets to surround any word, comment, or punctuation mark you add within the quotation (. . .). Place the word *sic* (meaning "in this manner") in brackets immediately after any mistake in spelling, grammar, or common knowledge that your reader might otherwise believe to be a misquotation. To correct the plagiarism of Mitford's sentence above, the writer would place Mitford's exact words in quotation marks and cite the source properly.

QUOTATION "The character and mentality of the keepers," maintains Jessica Mitford, "may be of more importance in understanding prisons than the character and mentality of the kept." 7

When you summarize or paraphrase, you state in your own words and sentence structures the meaning of someone else's writing. In a summary you extract the central idea from several sentences, paragraphs, or even pages, condensing it into one or more sentences of your own. In a paraphrase you follow the original more closely, often sentence by sentence, recording in your

own words and the author's line of reasoning. (. . .). Since the words and the sentence structures are yours, you do not enclose either a summary or a paraphrase in quotation marks, although, of course, you must acknowledge the author of the idea. Here is a paraphrase of the Mitford quotation above.

PARAPHRASE Jessica Mitford maintains that we may be able to learn more about prisoners from the psychology of the prison officials than from that of the prisoners.⁷

If you adopt the source's sentence pattern and simply substitute synonyms for key words, or if you use the original words and merely change the sentence pattern, you are not paraphrasing but plagiarizing, even if you acknowledge the source, because both methods use someone else's expression without quotation marks. The inadequate paraphrase below plagiarizes the original source, Frederick C. Crew's *The Tragedy of Manners: Moral Drama in the Latter Novels of Henry James* (1957; rpt. Hamden, Conn.: Shoe String Press, 1971), p. 8.

ORIGINAL In each case I have tried to show that all the action in a "Jamesian novel" may be taken as a result of philosophical differences of opinion among the principal characters, and that these differences in turn are explainable by reference to the characters' differing social backgrounds.

PLAGIARISM According to Crews, the action in a "Jamesian novel" comes from philosophical differences of opinion between characters. These differences can be explained by examining the characters' differing social backgrounds.⁵

The plagiarized passage lifts several expressions verbatim from the source, without change and without quotation marks: "action in a 'Jamesian novel'"; "philosophical differences of opinion"; "the characters' differing social backgrounds." Thus even though the writer acknowledges the author's works (indicated by the use of Crew's name and the note number 5), he plagiarizes because he does not also acknowledge the author's words with quotation marks. The paraphrase below both conveys and acknowledges the author's meaning without stealing his manner of expression.

PARAPHRASE According to Crews, the character in Henry James's novels live out philosophies acquired from their upbringing and their place in society.⁵

In this paraphrase, although the writer retains Crew's essential meaning, he restates that meaning in a sentence that he himself has clearly constructed and designed to fit his larger purpose.

In paraphrasing or summarizing you must not only devise your own form of expression (or place quotation marks around the author's expressions) but also represent the author's meaning exactly without distorting it. In the following inaccurate paraphrase the writer has avoided plagiarism but has stated a meaning exactly opposite to that of the original. The original quotation, from the artist Henri Matisse, appears in Jack D. Flam, *Matisse on Art* (London: Phaidon, 1973), p. 148.

ORIGINAL For the artist creation begins with vision. To see is itself a creative operation, requiring an effort. Everything that we see in our daily life is more or less distorted by acquired

habits, and this is perhaps more evident in an age like ours when cinema posters and magazines present us every day with a flood of ready-made images which are to the eye what prejudices are to the mind.

INACCURATE PARAPHRASE Matisse said that seeing is the first step of the artistic act and that we learn how to see by looking at posters and magazines.⁷

The revision below combines paraphrase and quotation to represent the author's meaning exactly.

IMPROVED PARAPHRASE Matisse said that seeing is the first step of the artistic art because we must overcome our visual "habits" and "prejudices," particularly those we develop in response to the popular images of our culture.⁷

To be sure you acknowledge sources fairly and do not plagiarize, review this checklist both before beginning to write your paper and again after you have completed your first draft.

1. What type of source are you using: your own independent material, common knowledge, or someone else's independent material?
2. If you are quoting someone else's material, is the quotation exact? Have you inserted quotation marks around quotations run into the text? Have you shown omissions with ellipses and additions with brackets?
3. If you are paraphrasing someone else's material, have you rewritten it in your own words and sentence structures? Does your paraphrase employ quotation marks when you resort to the author's exact language? Have you represented the author's meaning without distortion?
4. Is each use of someone else's material acknowledged with a note?
5. Do all notes contain complete and accurate information on the sources you have cited?
6. Does your bibliography include all the sources you have drawn from in writing your paper?